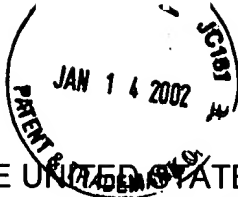


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
PATENT TRANSMITTAL FORM



2164  
#5  
BJ  
02-01-02

Applicant: Ittai Korin  
Serial No.: 09/866,965  
Filed: May 29, 2001  
For: METHOD AND SYSTEM FOR ANALYZING PERFORMANCE OF AN  
INVESTMENT PORTFOLIO TOGETHER WITH ASSOCIATED RISK  
Art Unit: 2164  
Examiner: Not Yet Assigned  
Attorney Docket: 160.7067USU

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JAN 1 8 2002  
Technology Center 2100

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Dear Sir:

Transmitted herewith is:

1. Supplemental Information Disclosure Statement;
2. PTO Form 1449 with copies of citations;
3. Copy of International Search Report dated September 13, 2001;
4. Transmittal letter in duplicate; and
5. Postcard.

Please charge any additional fees or credit any such fees, if necessary to Deposit Account No. 01-0467 in the name of Ohlandt, Greeley, Ruggiero & Perle. A duplicate copy of this sheet is attached.

Respectfully submitted,

Paul D. Greeley, Esq.  
Reg. No. 31,019  
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
One Landmark Square, 10th Floor  
Stamford, Connecticut 06901-2682  
(203) 327-4500

Date: October 26, 2001

**CERTIFICATE OF MAILING**

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231, ON October 26, 2001.

Heather Fiorella  
NAME

  
SIGNATURE

10/26/01  
DATE



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Ittai Korin  
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JAN 18 2002  
Technology Center 2100

Commissioner for Patents  
Washington, D.C. 20231

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

In accordance with applicant's duty of disclosure under 37 C.F.R. §1.56, please find attached hereto form PTO-1449 listing information which may be material to the patentability of this application, filed May 29, 2001. This Supplemental Information Disclosure Statement is being filed:

- ☐ Within three (3) months of the filing date of the national application;
- ☐ Within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application;
- ☒ Before the mailing date of a first Office Action on the merits and in response to an International Search Report dated September 13, 2001 (copy enclosed);
- ☐ After the filing date or date of first Office Action, but before the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and

provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);

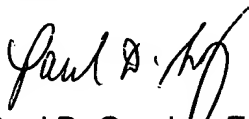
— After the filing date or date of first Office Action, but before the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to the final action and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);

— After the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e), a petition requesting consideration of the I.D.S., and the petition fee set forth in 37 C.F.R. §1.17(i)(1); and

— After the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to the issuance of a final action and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e), a petition requesting consideration of the I.D.S., and the petition fee set forth in 37 C.F.R. §1.17(l)(1).

It should be understood that attention has been called to the references that have been deemed to be pertinent to the claimed present invention. In concluding what was pertinent, the criteria employed was considered most appropriate in light of the invention shown in the present application. However, the Examiner or others may deem some other criteria to be just as appropriate or more appropriate. Therefore, the Examiner is respectfully urged to review the listed references and to make the usual careful independent search for other prior art that may be pertinent.

Respectfully submitted,



Paul D. Greeley, Esq.  
Reg. No. 31,019

Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
One Landmark Square, 10th Floor  
Stamford, CT 06901-2682  
(203) 327-4500

October 26, 2001

Sheet 1 of 1

<b>FORM PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  (Use several sheets if necessary)	Docket Number (Optional) <b>160.7067USU</b>	Application Number <b>09/866,965</b>
	Applicant <b>Ittai Korin</b>	
	Filing Date <b>May 29, 2001</b>	Group Art Unit <b>2164</b>

**U. S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5784696	7/21/98	Melnikoff	705	36	
	5761442	6/2/88	Barr et al.	395	236	
	6021397	2/1/00	Jones et al.	705	36	

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

**OTHER DOCUMENTS** (including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP §609; Draw line through  
Citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.